

## Application For A New Or Amended Certificate Of Public Convenience And Necessity

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Dear Applicant:

Thank you for taking the time to fill out an application with the Regulatory Commission of Alaska ("Commission"). Our regulations require that all *applications for a new or amended certificate of public convenience and necessity* be filed electronically over the Commission's website. If this is your first time filing an application with the Commission, Information and Guidelines for filing an application electronically are available here:

<http://rca.alaska.gov/RCAWeb/Documents/Help/SubmissionGuide.pdf>

In addition to providing all of the information requested in APUC FORM PU 101, the application enclosed with this letter, all applications must include the following items:

- A *proposed* public notice describing the nature of the application, and that meets the language requirements set forth in [3 AAC 48.648\(e\)](#). A template notice that generally meets Commission requirements is included with this application package.
- A purchase order that demonstrates you have arranged for your *proposed* public notice to be published in a newspaper of general circulation in the state. (A purchase order can be in the form of a receipt from the newspaper or an email from the newspaper stating that you have arranged for payment and publishing of the *proposed* notice.)

*Note: The applicant does not issue the final public notice. The Commission will review the proposed notice filed with your application, make changes as necessary, and issue the final public notice using the purchase order you provide with your application package.*

If you do not wish to complete any portion of the application, you will have to file a motion for waiver, separate from your application, that meets the requirements set forth in [3 AAC 48.805](#)

You can request that any portion of your application be made confidential by filing a separate petition for confidentiality that meets the requirements set forth in [3 AAC 48.045](#)

If the Commission can be of further assistance with the completion of your application, call (907) 276-6222 and ask for the Engineering Section, or send an email to: [engineering.rca@alaska.gov](mailto:engineering.rca@alaska.gov)

Sincerely,

The Regulatory Commission of Alaska  
701 West Eighth Avenue, Suite 300  
Anchorage, Alaska 99501

APUC FORM PU 101

(Revised 4/27/87; replaces Forms PU 101, PU 104, PU 107A, and PU 107B.)

DATE FILED: \_\_\_\_\_

DOCKET NO. \_\_\_\_\_

FEE PAID: \_\_\_\_\_

**APPLICATION FOR NEW OR AMENDED CERTIFICATE**  
**OF PUBLIC CONVENIENCE AND NECESSITY**

**PART I. GENERAL INFORMATION:**

A. Applicant: \_\_\_\_\_  
(Utility Name)

Business  
Address: \_\_\_\_\_  
(Street Address or P.O. Box)

\_\_\_\_\_  
(City) (State and Zip Code)

Business Telephone: \_\_\_\_\_  
(Area Code/Number)

B. Person to be contacted with respect to this application:

\_\_\_\_\_  
(Name) (Street Address or P.O. Box)

\_\_\_\_\_  
(Position) (City, State, & Zip Code)

\_\_\_\_\_  
(Daytime Telephone Number)

C. Type of Utility:

- ☐ Electric
- ☐ Gas
- ☐ Refuse
- ☐ Sewer
- ☐ Telecommunications (Cable Television)
- ☐ Telecommunications (Local Exchange)
- ☐ Telecommunications (Long Lines Carrier)
- ☐ Telecommunications (Radio Common Carrier)
- ☐ Water
- ☐ Other \_\_\_\_\_

D. Applicant proposes to:

- ☐ Secure a certificate of public convenience and necessity.
- ☐ Amend Certificate No. \_\_\_\_\_

E. List any utilities or other entities which you are aware are currently providing the same type of service in the area sought by this application:<sup>1</sup>

(1) \_\_\_\_\_

(2) \_\_\_\_\_

\_\_\_\_\_  
(Address)

\_\_\_\_\_  
(Address)

\_\_\_\_\_  
(Competing Service)

\_\_\_\_\_  
(Competing Service)

\_\_\_\_\_  
(Competing Service Area)

\_\_\_\_\_  
Competing Service Area)

F. Applicant is:

- ☐ Cooperative      ☐ Private-Owned Corporation
- ☐ Individual      ☐ Municipally-Owned Utility
- ☐ Partnership      ☐ Political Subdivision of State
- ☐ Limited
- ☐ General
- ☐ Other \_\_\_\_\_

Date of Organization (if applicable): \_\_\_\_\_

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<sup>1</sup>Competing entities are those entities providing, or intending to provide, the same, or substantially the same, service or facility to any part of the requested service area.

G. List the owners of five percent or more of the applicant's equity.

_____	_____
(Name)	(Percent Ownership)

\_\_\_\_\_  
(Address)

_____	_____
(Name)	(Percent Ownership)

\_\_\_\_\_  
(Address)

_____	_____
(Name)	(Percent Ownership)

\_\_\_\_\_  
(Address)

H. List all persons or entities which are affiliated interests of the applicant as defined in AS 42.05.720(1)(A)-(G):

_____	_____
(Name)	(Street Address or P.O. Box)

\_\_\_\_\_  
(City, State, and Zip Code)

_____	_____
(Name)	(Street Address or P.O. Box)

\_\_\_\_\_  
(City, State, and Zip Code)

I. Location where company books will be kept:

\_\_\_\_\_  
(Address)

(Note: AS 42.05.491 requires that a public utility keep its books, accounts, papers, and records in an office within the State of Alaska, unless the utility has received Commission approval for another location.)

## PART II. GENERAL DOCUMENTS:

Applicants must provide the following information in attachments numbered to correspond to the items below.

### A. KEY MANAGEMENT

List the names, titles, and responsibilities of all key management now employed or to be employed in the utility operation. Submit a resume for each person, including all prior background, schooling, and any other qualifications, which may be useful to the operation of the utility.

If accurate, up-to-date resumes are on file with the Commission, an applicant requesting an amendment to a certificate may satisfy this information requirement by submitting a statement to this effect.

### B. Corporate or Partnership Documents

If the applicant is a corporation, enclose the following:

- 1) Certificate of Incorporation
- 2) Articles of Incorporation
- 3) Bylaws

If the applicant is a partnership, enclose a copy of the partnership agreement.

If accurate, up-to-date corporate or partnership documents are on file with the Commission, an applicant requesting an amendment to a certificate may satisfy this information requirement by submitting a statement to this effect.

### C. Benefit to the Public

Explain in detail why the new or additional utility service is, or may be, required for the public convenience and necessity and state why any existing, similar service is insufficient or why overlapping certification is otherwise appropriate. Also include the number and type of customers by geographic location which the applicant expects to serve. Explain how the customer estimates were derived.

In addition to the above, if the applicant is a certificated utility, describe the impact of the amendment on the existing

subscribers (i.e., effect on rates, quality of service, service provided, etc.).

D. Service Area Map

Attach a map clearly showing the boundary of the applicant's proposed service area using a U.S.G.S. topographic map, scale 1:63,360 (or 1:24,000 if available). In cases where the proposed service area is less than one square mile, contact the Commission Staff for the appropriate map. Include a description of the area using townships and ranges.

If the applicant is a certificated utility, provide a map, which shows how the current service area boundary will be modified if the amendment is approved.

E. Utility Practices and Procedures

Attached the proposed tariff or practices and procedures of the applicant, showing all rates, deposits, and charges associated with providing the proposed service to the general public and including the standard practices the applicant will follow when dealing with its customers (such as billing practices, conditions of disconnection, etc.). Applicants should refer to 3 AAC 48.200 -- AAC 48.420 for tariff requirements adopted by the Commission or may contact the Commission Staff for samples of approved tariffs.

If an applicant is a certificated utility, submit a statement which incorporates by reference those pages of its currently effective tariff which are applicable to the amendment and include in the application only additional or modified tariff pages resulting from the amendment (e.g., the service area map).

### PART III. TECHNICAL DOCUMENT/INFORMATION

At a minimum, an applicant for a certificate must provide the following information for the type of utility certificate requested. All relevant permits and licenses for operation including, but not limited to, those listed below must be submitted with applications for certification.

#### A. Electric Utility

<u>New Certificate</u>	<u>Amended Certificate</u>
1) the names and addresses of those responsible for the design, installation, maintenance, and repair of equipment for the proposed system;	1) the names and addresses of all non-utility personnel or entities responsible for the design, installation, maintenance, and repair of equipment to serve the additional area.
2) the make and capacity of each generating unit which will serve the proposed service area;	2) the make and capacity of each generating unit added to serve the additional area and a statement of the effect the additional demand will have on existing generating capacity.
3) a one-line diagram of the generation system;	3) a one-line diagram of any new generation system constructed to serve the additional service area;
4) a layout of the generating plant which will serve the proposed service area;	4) a layout of the generating plant, if new plant will be constructed or existing plant will be expanded or reconfigured as a result of the service area addition;
5) information regarding the fuel supply for the proposed service area, including the means of delivery, storage capacity, and estimated annual consumption;	5) information regarding the means of delivery, storage capacity, and estimated annual consumption of fuel if a new power plant is constructed to serve the additional area; otherwise, describe how the additional demand affects the available fuel supply storage capacity;

6) a distribution and transmission system design diagram for the proposed service area, including a summation of transmission and distribution mileage;	6) a distribution and transmission system design diagram for the additional service area, including a summation of transmission and distribution mileage;
7) a statement confirming that the proposed system meets the State minimum electrical safety standards adopted in AS 18.60.580 (i.e., the National Electric Safety Code) and, if the applicant will be an economically regulated utility, meets the requirements of 3 AAC 52.400 - 3 AAC 52.500; and	7) a statement confirming that the proposed system meets the State minimum electrical safety standards, adopted in AS 18.60.580 (i.e., the National Electric Safety Code) and, if the applicant is an economically regulated utility, meets the requirements of 3 AAC 52.400 - 3 AAC 52.500; and
8) a description of any negotiations with telephone and/or cable television utilities on the joint use of pole lines.	8) a description of any negotiations with telephone and/or cable television utilities on the joint use of pole lines in the additional service area.



B. Gas Utility

<u>New Certificate</u>	<u>Amended Certificate</u>
1) the names and address of those responsible for the design, installation, maintenance, and repair of equipment for the proposed system;	1) the names and addresses of all non-utility personnel or entities responsible for the design, installation, maintenance, and repair of equipment for the addition to the system;
2) copies of executed contracts for gas supplies for the proposed service area;	2) copies of any additional executed contracts for gas supplies needed to serve the expanded service area and a statement of the impact of the additional service area on existing gas supplies;
3) a distribution and transmission system diagram for the proposed service area; and	3) a distribution and transmission system diagram for the additional service area; and
4) a statement confirming that the system has been designed to meet the requirements of 3 AAC 52.010 -- 3 AAC 52.080.	4) a statement confirming that the addition to the system has been designed to meet the requirements of 3 AAC 52.010 -- 3 AAC 52. 08.

C. Refuse Utility

<u>New Certificate</u>	<u>Amended Certificate</u>
1) the names and addresses of those responsible for the maintenance and repair of equipment for the proposed service;	1) the names and addresses of all non-utility personnel or entities responsible for the maintenance and repair of equipment acquired to serve the proposed service area addition;
2) a description of the equipment and/or facilities, i.e., number and type of vehicles, etc., which will serve the proposed service area;	2) a description of the equipment and/or facilities, i.e., number and type of vehicles, etc., which will be purchased to serve the additional service area and a description of the impact of the amendment on the existing equipment;
3) a statement of the location of the landfill, other drop site, or facility for disposal of refuse from the proposed service area; and	3) a statement of the location of the landfill, other drop site or facility for disposal of refuse from the additional service area, if different from the current location used by the utility; and
4) a copy of the permit for the proposed service from the Alaska Department of Environmental Conservation ("Permit to Operate"). If the permit has not yet been issued, describe and document what has been done to obtain it.	4) a copy of the permit for the proposed service from the Alaska Department of Environmental Conservation ("Permit to Operate"). If the permit has not yet been issued, describe and document what has been done to obtain it.

D. Sewer Utility

<u>New Certificate</u>	<u>Amended Certificate</u>
1) the names and addresses of those responsible for the design, installation, maintenance, and repair of the proposed system;	1) the names and addresses of all non-utility personnel or entities responsible for the design, installation, maintenance, and repair of the addition to the system;
2) a description of the treatment facilities and the method of disposal of treated effluents for the proposed service area;	2) a description of the treatment facilities and the method of disposal of treated effluents for the additional service area, if different from those currently in use, and a description of the impact of the amendment on the existing facilities;
3) the system layout for the proposed service area including, at a minimum, sizes of existing and/or proposed mains and lateral lines, lift stations, and treatment plant(s); and	3) the system layout for the additional service area including, at a minimum, sizes of existing and/or proposed mains and lateral lines, lift stations, and treatment plants(s); and
4) a copy of the approval for the proposed service from the Alaska Department of Environmental Conservation ("Final Operation Approval"). If the approval has not yet been issued, describe and document what has been done to obtain it.	4) a copy of the approval for the additional service from the Alaska Department of Environmental Conservation (Final Operation Approval"). If the approval has not yet been issued, describe and document what has been done to obtain it.

Note: Sewer utilities may provide copies of information filed with the Alaska Department of Environmental Conservation for (2) and (3) of the above requires.

E. Telecommunications (Cable Television) Utility

<u>New Certificate</u>	<u>Amended Certificate</u>
1) the names and address of those responsible for the design, installation, maintenance, and repair of equipment for the proposed service;	1) the names and addresses of all non-utility personnel or entities responsible for the design, installation, maintenance, and repair of equipment for the addition to the system;
2) head-end and distribution system equipment specification sheets for all major components in the proposed service area;	2) head-end (if applicable) and distribution system equipment specification sheets for all major components constructed to serve the additional service area;
3) a diagram of the proposed head-end;	3) a diagram of any new head-end constructed to serve the additional service area;
4) calculations showing the expected signal-to-noise ratio at the receiver output under worst-case conditions in the proposed service area;	4) calculations showing the expected signal-to-noise ratio at the receiver output under worst-case conditions in the additional service area;
5) calculations showing the expected audio and video signal-to-noise ratio for each operational channel at the furthest end point of each continuous route in the distribution system.	5) calculations showing the expected audio and video signal-to-noise ratio at the receiver output under worst-case conditions in the additional service area;
6) the distribution system layout in the proposed service area;	6) the distribution system layout in the additional service area;

7) if the applicant is a telephone common carrier or an affiliate, directly or indirectly, of a telephone common carrier, a copy of the request to the Federal Communications Commission for waiver of 47 C.F.R. 63.54 and 63.55 or a statement with appropriate support explaining why such a waiver is not required; and	7) if the applicant is a telephone common carrier or an affiliate, directly or indirectly, of a telephone common carrier, a copy of the request to the Federal Communications Commission for waiver of 47 C.F.R. 63.54 and 63.55 or a statement with appropriate support explaining why such a waiver is not required; and
8) a description of any negotiations with electric and/or telephone utilities on the joint use of pole lines.	8) a description of any negotiations with electric and/or telephone utilities on the joint use of pole lines in the additional service area.

Note: If the application is approved, following the completion of the system the applicant will be required to file with the commission the results of the test data specified under 47 C.F.R. 76.601.

F. Telecommunications (Local Exchange or Long Lines) Utility

<u>New Certificate</u>	<u>Amended Certificate</u>
1) the names and addresses of those responsible for the design, installation, maintenance, and repair of equipment for the proposed system;	1) the names and addresses of all non-utility personnel or entities responsible for the design, installation, maintenance, and repair of equipment for the addition to the system;
2) a description of the switching equipment serving the proposed service area by make, type of switch, and capacity;	2) a description by make, type, and capacity of any added switching equipment and a statement of the impact the additional service area will have on existing switching capacity (line, trunk, and common control);
3) a statement of the expected carried traffic during the busy hour, busy season;	3) a statement of the expected traffic generated in the additional service area during the busy hour, busy season;
4) the system layout (cable or radio) for the proposed service area including, at a minimum, the outside plant routing and the switching location;	4) the system layout (cable or radio) for the additional service area including, at a minimum, the outside plant routing and the switching location;
5) a statement confirming that the system has been designed to meet the requirements of 3 AAC 52.200 -- 3 AAC 52.340;	5) a statement confirming that the addition to the system has been designed to meet the requirements of 3 AAC 52.200 -- 3 AAC 52.340;
6) a description of any negotiations with electric and/or cable television utilities on the joint use of pole lines; and	6) a description of any negotiations with electric and/or cable television utilities on the joint use of pole lines in the additional service area; and
7) copies of the Federal Communications Commission application for the proposed service under 47 U.S.C.A. 214. If the application has not been made, explain why.	7) copies of the Federal Communications Commission application for the proposed service under 47 U.S.C.A. 214. If the application has not been made, explain why.

G. Telecommunications (Radio Common Carrier) Utility

<u>New Certificate</u>	<u>Amended Certificate</u>
1) the names and addresses of those responsible for the design, installation, maintenance, and repair of equipment for the proposed system;	1) the names and addresses of all non-utility personnel or entities responsible for the design, installation, maintenance, and repair of equipment for the addition to the system;
2) a description of the type of service to be offered (e.g., radio paging or mobile radio telephone) and a description of the system (e.g. radio terminal and transmitter(s)); and	2) a description of the type of service to be offered (e.g., radio paging or mobile radio telephone); a description of any radio terminals, transmitters, and/or repeaters added as a result of the proposed service area expansion; and a description of the impact of the addition on the existing equipment; and
3) copies of the Federal Communications Commission application for the proposed service under 47 C.F.R. 22. If the application has not been made, explain why.	3) copies of the Federal Communications Commission application for the proposed service under 47 C.F.R. 22. If the application has not been made, explain why.

## H. Water Utility

<u>New Certificate</u>	<u>Amended Certificate</u>
1) the names and addresses of those responsible for the design, installation, maintenance, and repair of equipment for the proposed system;	1) the names and addresses of all non-utility personnel or entities responsible for the design, installation, maintenance, and repair of equipment for the addition to the system;
2) a description of the source(s) of water for the proposed service area, including the quantity available, pumping capacity for each source, reservoir capacity, and the available reserve capacity (in hours) in case of power outages and/or well failure;	2) a description of the source(s) of water for the additional service area, if different from that currently in use, including the quantity available, pumping capacity for each source, reservoir capacity, and the available reserve capacity (in hours) in case of power outages and/or well failure, and a description of the impact of the amendment on the existing water source;
3) the system layout for the proposed service area including, at a minimum, sizes of mains and lateral lines, and water treatment plant(s); and	3) the system layout for the additional service area including, at a minimum, sizes of mains and lateral lines and water treatment plant(s); and
4) copies of approvals for the proposed service from the Alaska Department of Environmental Conservation ("Final Operation Approval") and the Department of Natural Resources ("Certificate of Appropriation"). If the approvals have not yet been issued, describe and document what has been done to obtain them.	4) copies of approvals for the additional service from the Alaska Department of Environmental Conservation ("Final Operation Approval") and the Department of Natural Resources ("Certificate of Appropriation") and the effect the new service will have on existing water rights. If the approvals have not yet been issued, describe and document what has been done to obtain them.

Note: Water utilities may provide copies of information filed with the Alaska Department of Environmental Conservation for (2) and (3) of the above requirements.



PART IV. FINANCIAL INFORMATION:

At a minimum, applicants must provide the following:

A. Financial Status:

The applicant must provide the following historical financial information:

1) if the applicant is an existing business which previously has not operated as a utility or has not been certificated to operate as a utility, copies of the most recent year's balance sheet and income statement for the existing business (preferably audited); or

2) if the applicant is a new business which proposes to operate as a utility, copies of the most recent year's balance sheet and income statement for the principal owners of the business; or

3) if the applicant is a certificated utility, copies of the appropriate pages from its annual report to the Commission, if those pages still reflect the current financial status of the utility, or copies of current statements to other agencies (e.g., Rural Electrification Administration Electric Form 7 or Telephone form 479) or copies of its most recent internal documents which contain substantially the same information.

In addition, applicants must provide the following pro forma financial schedules:

1) a schedule of operating revenues (see attached Schedule 1);

2) a schedule of operating expenses (see attached Schedule 2);

3) a plant-in-service and depreciation schedule (see attached Schedule 3);

4) a computation of the utility's weighted cost of capital (see attached Schedule 4);

5) a computation of the utility's rate base and return (see attached Schedule 5);

6) a tax computation (see attached Schedule 6); and

7) a revenue requirement and calculation of proposed rates (see attached Schedule 7).

B. Sources of Financing

List the sources of the financing for the proposed utility or expansion of an existing utility. Include documentation showing that the sources listed will provide the applicant with the required funds. Include the terms and conditions of all loans and equipment contracts which may be relevant. If a portion or all of the plant is contributed, list the sources and conditions of all on-site and off-site assessments, grants, or other sources of funding.

PART V. AUTHORIZATION

Verification of Application and Authorization of Notice

The undersigned hereby verifies the application and requests the Alaska Public Utilities Commission to grant to applicant a certificate of public convenience and necessity for the services and service areas set out above.

The undersigned applicant hereby authorizes the Alaska Public Utilities Commission to arrange notice of this application to other utilities and interested persons by publication in newspapers of general circulation in the applicant's existing and/or proposed service area. The applicant agrees to pay the cost of such publication of notice.

DATED at \_\_\_\_\_ Alaska, this \_\_\_\_ day of \_\_\_\_\_, 2000.

\_\_\_\_\_  
Name of Applicant

By: \_\_\_\_\_  
Principal Officer, Partner, or Owner

\_\_\_\_\_  
Name and Title

\_\_\_\_\_  
Address of Applicant

Name and address of attorney for  
\_\_\_\_\_  
\_\_\_\_\_

RCA No. \_\_\_\_\_

Sheet No. \_\_\_\_\_

## Canceling

Sheet No. \_\_\_\_\_

**Tariff Advice No. \_\_\_\_\_**

**Effective** \_\_\_\_\_

**Issued By:** \_\_\_\_\_

**By:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**REGULATORY COMMISSION OF ALASKA  
MASTER UTILITY DIRECTORY INFORMATION**

Please complete form and return to:

Records and Filings  
Regulatory Commission of Alaska  
701 West Eighth Ave., Suite 300  
Anchorage, AK 99501-3469  
In Anchorage (907) 276-6222  
Within Alaska (800) 390-2782

**GENERAL INFORMATION UPDATE FORM**

Name of Pipeline/Utility Carrier:\_\_\_\_\_

Address:\_\_\_\_\_

\_\_\_\_\_ Zip Code:\_\_\_\_\_

Telephone No:\_\_\_\_\_ Fax No:\_\_\_\_\_

EIN Number:\_\_\_\_\_ Certificate No.:\_\_\_\_\_

**MANAGEMENT**

List all principal management personnel

Name	Address	Local Manager	Phone No.
President:_____			
General Manager:_____			
Principal Attorney(s):_____			
Accountant:_____			
Engineer:_____			

**Service Area Information**

For all principal management personnel

Location	Local Address	Local Manager	Phone No.
_____			
_____			

### SCHEDULES FOR FINANCIAL DATA

Schedules 1-3 refer to account numbers as defined by the Uniform System of Accounts (USOA) for utilities. Copies of the USOA applicable to the type and size of utility proposed in this application are set out in the Alaska Regulatory Commission's regulations at 3 AAC 48.277 and may be obtained from the Alaska Regulatory Commission. If possible, submit these schedules on an IBM PC compatible "Lotus 123" floppy disc. A pre-formatted "Lotus 123" floppy disc containing these schedules may be obtained from the Alaska Regulatory Commission.

	Instructions for Applicants Seeking Initial Certification for an Already Operating Utility	Instructions for Applicants Seeking Certification for a New Utility	Instructions for Applicants Seeking an Amendment to the Service Area of a Certificated Utility
SCHEDULE 1	List in Column III actual attained revenues for the most recent 12 month accounting period.	Leave Columns III and IV blank.	Leave Columns III and IV blank.
	List in Column IV an estimate for expected increases or decreases in revenues during the next 12 month accounting period. Provide an explanation for your estimates on a separate sheet.	List in Column V an estimate for total revenues expected during the next 12 month accounting period. Provide an explanation for your estimates on a separate sheet.	List in Column V an estimate for an increase (or decrease) in revenues caused by the proposed amendment at the end of the first normalized year of operation. Include figures for the amendment only, i.e., do not include revenue estimates for the already existing service area.
	List in Column V an estimate for total revenues expected during the next 12 month accounting period. Column V should be the sum of Columns III and IV.		
SCHEDULE 2	Repeat procedure described for Schedule 1 for expenses.	Repeat procedure described for Schedule 1 for expenses.	Repeat procedure described for Schedule 1 for expenses.
SCHEDULE 3	List plant that has been in service for the most recent 12 month accounting period. Columns IV, V, and VI should include the total plant figures, i.e., contributed and non-contributed. Columns VII, VIII, and IX should list figures for contributed plant only.	List plant that is expected to be in service at the end of the first normalized year of operation. Columns IV, V, and VI should include total plant figures, i.e., contributed and non-contributed. Columns VII, VIII, and IX should list figures for contributed plant only.	List plant that is expected to be added (or retired) as a result of the proposed amendment of certificate. Columns IV, V, and VI should include dollar figures for total plant additions or deletions, i.e., contributed and non-contributed, at the end of the first normalized year of operation. Columns VII, VIII and IX should list figures for contributed plant only.
SCHEDULE 4	Compute weighted costs of capital for utility. Leave Line 2A blank. Attach supplementary schedule listing all long-term debt obligations. Include all terms of each obligation, date it was incurred, interest rate, and repayment obligations.	Compute weighted costs of capital for each utility. Leave Line 2A blank. Attach supplementary schedule listing all long-term debt obligations. Include all terms of each obligation, date it was incurred, interest rate, and repayment obligations.	Compute weighted cost of capital for utility. Include on Line 2 all long-term debt prior to financing the proposed addition. Include on Line 2A any additional long-term debt incurred to finance the proposed addition. Attach supplementary schedule explaining all debt obligations included in Line 2A, their terms, dates incurred, interest rates, and repayment obligations. If applicable, explain any increases in equity related to financing the proposed addition.
SCHEDULES 5-7	Follow occupational instructions given on schedules.		

## SCHEDULE 1

### OPERATING REVENUES

Itemize below all operating revenues using account codes prescribed by the Uniform System of Accounts (USOA).

Line #	I USOA Account #	II Description	III Actual for Most Recent 12 Month Period*	IV Pro Forma Adjustments to Operating Revenues*	V Total Estimated Revenues at End of First Normalized Year of Operation
1			\$	\$	\$
2			\$	\$	\$
3			\$	\$	\$
4			\$	\$	\$
5			\$	\$	\$
6			\$	\$	\$
7			\$	\$	\$
8			\$	\$	\$
9			\$	\$	\$
10			\$	\$	\$
11			\$	\$	\$
12			\$	\$	\$
13			\$	\$	\$
14			\$	\$	\$
15			\$	\$	\$
16			\$	\$	\$
17			\$	\$	\$
18			\$	\$	\$
19			\$	\$	\$
20		TOTAL	\$	\$	\$

\* Not applicable to new utilities or amendments to existing certificated utilities.

Attach separate sheet explaining sources of estimated revenues indicated above. For each class of customers, derive estimated annual revenues using proposed rates and number of customers.

## SCHEDULE 2

### OPERATING EXPENSES

[Excluding Depreciation and Income Taxes]

Itemize below all operating expenses using account codes prescribed by the Uniform System of Accounts (USOA).

Line #	I USOA Account #	II Description	III Actual for Most Recent 12 Month Period*	IV Pro Forma Adjustments to Operating Expenses*	V Total Estimated Expenses at End of First Normalized Year of Operation
1			\$	\$	\$
2			\$	\$	\$
3			\$	\$	\$
4			\$	\$	\$
5			\$	\$	\$
6			\$	\$	\$
7			\$	\$	\$
8			\$	\$	\$
9			\$	\$	\$
10			\$	\$	\$
11			\$	\$	\$
12			\$	\$	\$
13			\$	\$	\$
14			\$	\$	\$
15			\$	\$	\$
16			\$	\$	\$
17			\$	\$	\$
18			\$	\$	\$
19			\$	\$	\$
20		TOTAL	\$	\$	\$

\* Not applicable to new utilities or amendments to existing certificated utilities.

Attach separate sheet explaining estimated operating expenses indicated above.



### SCHEDULE 3

(Page 1 of 2)

### UTILITY PLANT AND DEPRECIATION

List Plant Categories by Account According to the Uniform System of Accounts (USOA). Indent and List Separately Major Categories or Units of Plant in the Same Account				Total Plant (i.e., Contributed and Non Contributed) for Most Recent 12 Month Period*			Contributed Plant for Most Recent 12 Month Period		
Line #	USOA Account # I	Plant Description II	Depreciation Rate III	Original Cost IV	Depreciation Expense V	Accumulated Depreciation VI	Original Cost VII	Amortization Expense VIII	Accumulated Amortization IX
1				\$	\$	\$	\$	\$	\$
2				\$	\$	\$	\$	\$	\$
3				\$	\$	\$	\$	\$	\$
4				\$	\$	\$	\$	\$	\$
5				\$	\$	\$	\$	\$	\$
6				\$	\$	\$	\$	\$	\$
7				\$	\$	\$	\$	\$	\$
8				\$	\$	\$	\$	\$	\$
9				\$	\$	\$	\$	\$	\$
10				\$	\$	\$	\$	\$	\$
11				\$	\$	\$	\$	\$	\$
12				\$	\$	\$	\$	\$	\$
13				\$	\$	\$	\$	\$	\$
14				\$	\$	\$	\$	\$	\$
15				\$	\$	\$	\$	\$	\$
16				\$	\$	\$	\$	\$	\$
17				\$	\$	\$	\$	\$	\$
18				\$	\$	\$	\$	\$	\$
19				\$	\$	\$	\$	\$	\$
20		SUBTOTAL		\$	\$	\$	\$	\$	\$

\* Utilities with no operating history shall include an estimate for the end of the first normalized year of operation.

Utilities seeking an amendment of certificate shall ONLY include an estimate of plant to be added as a result of the amendment.

### SCHEDULE 3

## UTILITY PLANT AND DEPRECIATION

List Plant Categories by Account According to the Uniform System of Accounts (USOA). Indent and List Separately Major Categories or Units of Plant in the Same Account

Total Plant (i.e., Contributed and Non Contributed) for Most Recent 12 Month Period\*

Contributed Plant for Most Recent 12 Month Period\*

Line #	USOA Account # I	Plant Description II	Depreciation Rate III	Original Cost IV	Depreciation Expense V	Accumulated Depreciation VI	Original Cost VII	Amortization Expense VIII	Accumulated Amortization IX
20		<b>SUBTOTAL</b>							
21				\$	\$	\$	\$	\$	\$
22				\$	\$	\$	\$	\$	\$
23				\$	\$	\$	\$	\$	\$
24				\$	\$	\$	\$	\$	\$
25				\$	\$	\$	\$	\$	\$
26				\$	\$	\$	\$	\$	\$
27				\$	\$	\$	\$	\$	\$
28				\$	\$	\$	\$	\$	\$
29				\$	\$	\$	\$	\$	\$
30		<b>TOTAL</b>		\$	\$	\$	\$	\$	\$

### DEPRECIATION

31	Depreciation on Total Plant (Col. V, Line 30)	\$
32	Less Amortization on Contributed Plant (Col. VIII, Line 30)	\$
33	DEPRECIATION ON NON-CONTRIBUTED PLANT (Line 31 Less Line 32)	\$

### ACCUMULATED DEPRECIATION

34	Accumulated Depreciation on Total Plant (Col. VI, Line 30)	\$
35	Less Accumulated Amortization on Contributed Plant (Col. IX, Line 30)	\$
36	ACCUMULATED DEPRECIATION ON NON-CONTRIBUTED PLANT (Line 34 Less Line 35)	\$

## SCHEDULE 4

### COMPUTATION OF WEIGHTED COSTS OF CAPITAL

Weighted Cost of Capital Computation for TOTAL Company

	Amount I	% of Total Capitalization II	Cost of Capital III	Weighted Cost (Column II x III) IV
1 Equity	\$ _____	_____	_____	(A) _____
2 Long Term Debt*	\$ _____	_____	_____	(B) _____
2A Debt Associated with Expansion*	\$ _____	_____	_____	(C) _____
3 TOTAL	\$ _____	100%	*****	_____ (Add (A), (B), and (C))

\* Attach Separate Schedule

**SCHEDULE 5****COMPUTATION OF RATE BASE AND RETURN**

Line #		I Estimate at End of First Normal Year of Operation
<b>TOTAL PLANT</b>		
1	Plant in Service (Schd. 3, Col. IV, Line 30)	\$ _____
2	Less: Accum. Depreciation (Schd. 3, Col. VI, Line 30)	\$ _____
3	Net Total Plant	\$ _____
<b>CONTRIBUTED PLANT</b>		
4	Contributed Plant (Schd. 3, Col. VII, Line 30)	\$ _____
5	Less: Accum. Amortization (Schd. 3 Col. IX, Line 30)	\$ _____
6	Net Contributed Plant	\$ _____
<b>COMPUTATION OF NET PLANT-IN-SERVICE</b>		
7	Net Total Plant (Line 3)	\$ _____
8	Less: Net Contributed Plant (Line 6)	\$ _____
9	Net Plant-in-Service	\$ _____
<b>WORKING CAPITAL REQUIREMENT</b>		
10	12.5% of (Schd. 2, Col. V, Line 20) Applies to monthly billing NOT in advance	\$ _____
11	Materials and Supplies	\$ _____
12	Prepayments (attach supplementary schedule)	\$ _____
13	Customer Deposits	\$ _____
14	Other Adjustments (attach supplementary schedule)	\$ _____
15	RATE BASE (Line 9 +10+11+12 - 13 +14)	\$ _____
16	Rate of Return (Schd. 4, Col. IV, Line 3)	_____ %
17	RETURN ON RATE BASE (Line 15 x Line 16)	\$ _____

## SCHEDULE 6

### TAX COMPUTATION

1	Rate Base (Schedule 5, Line 15)	\$ _____
2	Weighted Cost of Equity (Schd. 4, Col. IV, Line 1)	\$ _____
3	Return on Equity (Line 1 x Line 2)	\$ _____
4	Add: Income Taxes as Computed Below	\$ _____
5	Total Amount Subject to Income Taxes (Line 3 + Line 4)	\$ _____

#### COMPUTATION OF INCOME TAXES

##### A. STATE (show computation)

6	State Income Tax .....	\$ _____
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##### B. FEDERAL (show computation)

7	Federal Income Tax .....	\$ _____
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8	TOTAL INCOME TAXES (Line 6 + Line 7)	\$ _____
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SCHEDULE 7

REVENUE REQUIREMENT

LINE  
#

1	Operating Expenses [Excluding Depreciation and Income Taxes] (From Schd. 2, Col. V, Line 20)	\$ _____
2	Add: Depreciation (From Schd. 3, Line 33)	\$ _____
3	Return on Rate Base (From Schd. 5, Line 17)	\$ _____
4	State and Federal Income Taxes (From Schd. 6, Line 8)	\$ _____
5	TOTAL: REVENUE REQUIREMENT	\$ _____

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6	Revenues (From Schd. 1, Col. V, Line 20)	\$ _____
7	OVER (OR UNDER) RECOVERY (Line 5 less Line 6)	\$ _____

## NOTICE OF UTILITY APPLICATION

The REGULATORY COMMISSION OF ALASKA (Commission) gives notice that an application has been filed by **UTILITY NAME** for a new certificate. **UTILITY NAME** is a **TYPE OF CORPORATION**, registered in the State of **STATE**. **UTILITY NAME** proposes to provide **TYPE OF UTILITY SERVICE** to **PROPOSED SERVICE AREA (COMMUNITIES TO BE SERVED)**. Docket No. **U-xx-yyy** was opened to address this matter.

In conjunction with its application, **UTILITY NAME** has filed a request for waiver of the following requirements: **SPECIFY FILING REQUIREMENTS SUBJECT TO WAIVER REQUESTS**. Interested persons may file a response to the waiver request with the Commission by 5:00 p.m. **DATE**.

In conjunction with its application, **UTILITY NAME** has filed a petition for confidential treatment of the following information filed in conjunction with the application: **SPECIFY APPLICATION INFORMATION FILED UNDER SEAL**. Interested persons may file a response to the petition for confidential treatment with the Commission by 5:00 p.m. **DATE**.

The Commission has not assessed the completeness of the application. The Commission may determine whether the application is complete by **DATE**.

A person who proposes to file an application to furnish the same, or substantially the same, service or facility to essentially the same service area or route, in whole or in part, thus creating the potential for mutually exclusive applications must file a notice of intent to file a competing application **by (+30 days)**. The person must then file the competing application by **(+90 days)**. If no notice of intent to file a competing application is filed by **(+30 days)**, the Commission will proceed to grant or deny the **UTILITY NAME** application to amend its certificate in accordance with the applicable provisions of AS 42.05.221 - 42.05.281.

You may obtain information about this application by contacting **POINT OF CONTACT** for **UTILITY NAME**, **ADDRESS**; **PHONE**. The complete filing is also available for inspection at the Commission's office at 701 West 8<sup>th</sup> Avenue, Suite 300, Anchorage, AK 99501; phone: (907) 276-6222, or may be viewed at the Commission's website at <http://rca.alaska.gov> by typing Docket "**U-xx-yyy**" in the *Find the Matter* search box.

To comment on this filing, please file your comments by 5:00 p.m. **DATE**, at the Commission's address given above or via our website at:

<https://rca.alaska.gov/RCAWeb/WhatsNew/PublicNoticesComments.aspx>

Please reference the docket number and include a statement that you've filed a copy of the comments with **POINT OF CONTACT** at the address given above.

Comment [BSM1]: GREEN represents information to be filled out by the applicant

The Commission will establish all the information in YELLOW.

Comment [BSM2]: Only include this language if you file a separate MOTION FOR WAIVER

Most applicants do not need to include this language.

Comment [BSM3]: Only include this language if you file a separate PETITION FOR CONFIDENTIAL TREATMENT

Most applicants do not need to include this language.

Individuals or groups of people with disabilities, who require special accommodations, auxiliary aids or service, or alternative communication formats, please contact Joyce McGowan at (907) 276-6222, toll-free at 1-800-390-2782, or TTY (907) 276-4533 or send a request via electronic mail to [rca.mail@alaska.gov](mailto:rca.mail@alaska.gov) by **DATE**.

DATED at Anchorage, Alaska, this ??th day of **[Month, Year]**.

REGULATORY COMMISSION OF ALASKA

T.W. Patch

Chairman